

10-18-01

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Box/Seq10/15/01
JC962 U.S. PTO

PTO/SB/05 (08-00)

Approved for use through 10/31/2002 OMB 0651-0032

U S Patent and Trademark Office, U S. DEPARTMENT OF COMMERCE

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UTILITY PATENT APPLICATION TRANSMITTAL

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Attorney Docket No. YU 132

First Inventor Peter M. Glazer

Title METHODS OF TARGETED MUTAGENESIS USING
TRIPLE-HELIX FORMING OLIGONUCLEOTIDES

Express Mail Label No. EL 717 749 145 US

APPLICATION ELEMENTS		Assistant Commissioner for Patents ADDRESS TO: Box Patent Application Washington, DC 20231
See MPEP chapter 600 concerning utility patent application contents.		

1. Fee Transmittal Form (e.g., PTO/SB/17)
(Submit an original and a duplicate for fee processing)
2. Applicant claims small entity status.
See 37 CFR 1.27.
3. Specification [Total Pages 46]
(preferred arrangement set forth below)
 - Descriptive title of the invention
 - Cross Reference to Related Applications
 - Statement Regarding Fed sponsored R & D
 - Reference to sequence listing, a table, or a computer program listing appendix
 - Background of the Invention
 - Brief Summary of the Invention
 - Brief Description of the Drawings (if filed)
 - Detailed Description
 - Claim(s)
 - Abstract of the Disclosure
4. Drawing(s) (35 U.S.C. 113) [Total Sheets 2]
5. Oath or Declaration [Total Pages 2]
 - a. unexecuted
 - b. Copy from a prior application (37 CFR 1.63 (d))
(for continuation/divisional with Box 17 completed)
 - i. **DELETION OF INVENTOR(S)**
Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b)
6. Application Data Sheet. See 37 CFR 1.76

7. CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix)
8. Nucleotide and/or Amino Acid Sequence Submission
(if applicable, all necessary)
 - a. Computer Readable Form (CRF)
 - b. Specification Sequence Listing on:
 - i. CD-ROM or CD-R (2 copies); or
 - ii. paper
 - c. Statements verifying identity of above copies

ACCOMPANYING APPLICATION PARTS		
9.	<input type="checkbox"/> Assignment Papers (cover sheet & document(s))	
10.	<input type="checkbox"/> 37 CFR 3.73(b) Statement (when there is an assignee)	<input type="checkbox"/> Power of Attorney
11.	<input type="checkbox"/> English Translation Document (if applicable)	
12.	<input type="checkbox"/> Information Disclosure Statement (IDS)/PTO-1449	<input type="checkbox"/> Copies of IDS Citations
13.	<input type="checkbox"/> Preliminary Amendment	
14.	<input checked="" type="checkbox"/> Return Receipt Postcard (MPEP 503) (Should be specifically itemized)	
15.	<input type="checkbox"/> Certified Copy of Priority Document(s) (if foreign priority is claimed)	
16.	<input checked="" type="checkbox"/> Other: Check for \$370.00	

17. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:

 Continuation Divisional Continuation-in-part (CIP)

of prior application No. 09,411,291

Prior application information

Examiner Myers, C.

Group / Art Unit 1655

For CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

18. CORRESPONDENCE ADDRESS

<input checked="" type="checkbox"/> Customer Number or Bar Code Label	<input type="checkbox"/> Correspondence address below
---	---

Name	Patrea L. Pabst Holland & Knight LLP			
Address	2000 One Atlantic Center 1201 West Peachtree Street			
City	Atlanta	State	GA	Zip Code
Country	USA	Telephone	404-817-8473	Fax

Name (Print/Type)	Rivka D. Monheit	Registration No. (Attorney/Agent)	48,731
Signature	<i>Rivka D. Monheit</i>		Date 10/15/01

Burden Hour Statement This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U S Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO Assistant Commissioner for Patents, Box Patent Application, Washington, DC 20231.

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FEE TRANSMITTAL for FY 2001

Patent fees are subject to annual revision

TOTAL AMOUNT OF PAYMENT (\$ 370.00)

Complete if Known

Application Number	
Filing Date	October 15, 2001
First Named Inventor	Peter M. Glazer
Examiner Name	
Group Art Unit	
Attorney Docket No.	YU 132

METHOD OF PAYMENT (check one)

1. The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to

Deposit Account Number **50-1868**
Deposit Account Name **Holland & Knight LLP**

Charge Any Additional Fee Required
Under 37 CFR 1.16 and 1.17

Applicant claims small entity status
See 37 CFR 1.27

2. Payment Enclosed:

Check Credit card Money Order Other

FEE CALCULATION (continued)

3. ADDITIONAL FEES

Large Entity	Small Entity	Fee Code (\$)	Fee Code (\$)	Fee Description	Fee Paid
105	130	205	65	Surcharge - late filing fee or oath	
127	50	227	25	Surcharge - late provisional filing fee or cover sheet	
139	130	139	130	Non-English specification	
147	2,520	147	2,520	For filing a request for ex parte reexamination	
112	920*	112	920*	Requesting publication of SIR prior to Examiner action	
113	1,840*	113	1,840*	Requesting publication of SIR after Examiner action	
115	110	215	55	Extension for reply within first month	
116	390	216	195	Extension for reply within second month	
117	890	217	445	Extension for reply within third month	
118	1,390	218	695	Extension for reply within fourth month	
128	1,890	228	945	Extension for reply within fifth month	
119	310	219	155	Notice of Appeal	
120	310	220	155	Filing a brief in support of an appeal	
121	270	221	135	Request for oral hearing	
138	1,510	138	1,510	Petition to institute a public use proceeding	
140	110	240	55	Petition to revive - unavoidable	
141	1,240	241	620	Petition to revive - unintentional	
142	1,240	242	620	Utility issue fee (or reissue)	
143	440	243	220	Design issue fee	
144	600	244	300	Plant issue fee	
122	130	122	130	Petitions to the Commissioner	
123	50	123	50	Petitions related to provisional applications	
126	240	126	240	Submission of Information Disclosure Stmt	
581	40	581	40	Recording each patent assignment per property (times number of properties)	
146	710	246	355	Filing a submission after final rejection (37 CFR § 1.129(a))	
149	710	249	355	For each additional invention to be examined (37 CFR § 1.129(b))	
179	279	355		Request for Continued Examination (RCE)	
169	900	169	900	Request for expedited examination of a design application	

Other fee (specify) _____

* Reduced by Basic Filing Fee Paid **SUBTOTAL (3) (\$)**

SUBMITTED BY

Complete (if applicable)

Name (Print/Type)	Rivka D. Monheit	Registration No (Attorney/Agent)	48,731	Telephone	(404) 817-8514
Signature	<i>Rivka D. Monheit</i>			Date	10/15/01

WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U S Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO Assistant Commissioner for Patents, Washington, DC 20231

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant: Peter M. Glazer

Serial No.: Express Mail Label
No.: EL 717 749 145 US

Filed: October 15, 2001 Date of Deposit: October 15, 2001

For: TRIPLE-HELIX FORMING OLIGONUCLEOTIDES FOR TARGETED
MUTAGENESIS

Box Patent Application
Commissioner of Patents and Trademarks
Washington, D.C. 20231

**EXPRESS MAIL TRANSMITTAL LETTER
FOR PATENT APPLICATION AND CERTIFICATE OF MAILING**

Sir:

Pursuant to 35 U.S.C. § 21(a) as amended by Public Law 97-247 and 37 C.F.R. § 1.10, applicant encloses for filing the attached patent application entitled "*Triple-Helix Forming Oligonucleotides for Targeted Mutagenesis*". This application is a continuation-in-part of pending prior application U.S. Serial No. 09/411,291 filed October 4, 1999, entitled "*Methods of Targeted Mutagenesis Using Triple-Helix Forming Oligonucleotides*" (*As Amended*), by Peter M. Glazer, which is a divisional of U.S. Serial No. 08/476,712, filed June 7, 1995, entitled "*Triple-Helix Forming Oligonucleotides for Targeted Mutagenesis*", by Peter M. Glazer. The application includes 1 page of abstract, 41 pages of specification, 4 pages of claims, 4 pages of Sequence Listing, 2 sheets of formal drawings, and an unexecuted Declaration for Patent Application. An executed Declaration for Patent Application, Assignment of rights in the application from Peter M. Glazer to Yale University, Power of Attorney or Authorization of Agent, and a Statement Under 37 C.F.R. § 3.73(b) will be submitted shortly.

Title: "Triple-Helix Forming Oligonucleotides
for Targeted Mutagenesis"
Filed: October 15, 2001
Express Mail Transmittal Letter for
Patent Application and Certificate of Mailing
Express Mail Label No.: EL 717 749 145 US
Date of Deposit: October 15, 2001

This application contains nucleic acid and/or protein sequences as defined in 37 C.F.R. §§ 1.821-1.825. Pursuant to 37 C.F.R. §§ 1.821-1.825, applicant encloses a 3½" diskette containing a computer-readable form of the Sequence Listing for the above-identified application. A paper copy of the Sequence Listing is incorporated into the application.

I declare that the material on the diskette is identical to the paper copy of the Sequence Listing present in the above-identified application, and that all statements made on information and belief are believed to be true and further that these statements were made with the knowledge that willful false statements may jeopardize the validity of the application or any patent issuing thereon.

A check in the amount of \$370.00 to cover the basic filing fee for a small entity is enclosed. The Commissioner is hereby authorized to charge Deposit Order Account No. 50-1868 in the amount of \$45.00 for the fee for 5 claims in excess of 20 claims. It is believed that this is the proper filing fee for a small entity as the application contains 3 independent claims, and a total of 25 claims.

This application is entitled to claim small entity status under 37 C.F.R. § 1.27.

This application is being filed on October 15, 2001 by mailing the application to Box Patent Application, Commissioner of Patents and Trademarks, Washington, D.C. 20231 via the United States Postal Service "Express Mail Post Office to Addressee" service under 37 C.F.R. § 1.10. The Express Mail label number appears in the heading of this paper that is attached to the application papers pursuant to 37 C.F.R. § 1.10(b).

Title: "Triple-Helix Forming Oligonucleotides
for Targeted Mutagenesis"

Filed: October 15, 2001

Express Mail Transmittal Letter for

Patent Application and Certificate of Mailing

Express Mail Label No.: EL 717 749 145 US

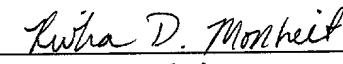
Date of Deposit: October 15, 2001

The Commissioner is hereby authorized to charge any additional fees that may be required, or credit any overpayment in connection with this application, to Deposit Order Account No. 50-1868. To facilitate this process, applicant has enclosed a duplicate of this letter.

All correspondence concerning this application should be mailed to:

**Patrea L. Pabst, Esq.
HOLLAND & KNIGHT LLP
Suite 2000, One Atlantic Center
1201 West Peachtree Street, N.E.
Atlanta, Georgia 30309-3400**

Respectfully submitted,



Rivka D. Monheit
Reg. No. 48,731

Date: October 15, 2001

HOLLAND & KNIGHT LLP
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(404) 817-8588 (Fax)

Title: "Triple-Helix Forming Oligonucleotides

for Targeted Mutagenesis"

Filed: October 15, 2001

Express Mail Transmittal Letter for

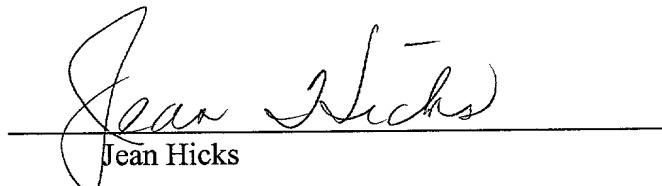
Patent Application and Certificate of Mailing

Express Mail Label No.: EL 717 749 145 US

Date of Deposit: October 15, 2001

CERTIFICATE OF MAILING UNDER 37 C.F.R. § 1.10

I hereby certify that this Express Mail Transmittal Letter for Patent Application and any documents referred to as attached therein are being deposited with the United States Postal Service on this date, October 15, 2001, in an envelope as "Express Mail Post Office to Addressee" service under 37 C.F.R. § 1.10, Express Mail Label No. EL 717 749 145 US, addressed to Box Patent Application, Commissioner of Patents and Trademarks, Washington, D.C. 20231.



Jean Hicks

Date: October 15, 2001

ATL1 #487849 v1